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DIVISION 01 - GENERAL REQUIREMENTS

SECTION 01330

SUBMITTAL PROCEDURES

02/05

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3.1 GENERAL

-- End of Section Table of Contents --

SECTION 01330

SUBMITTAL PROCEDURES  
02/05

\*\*\*\*\*  
NOTE: This broadscope section covers data, normally  
submitted for review, to establish conformance with  
the design concept, Affirmative Procurement/EPA  
Regulations, and the contract documents. This  
section does not include such items as guarantees,  
bonds, and insurance.  
\*\*\*\*\*

PART 1 GENERAL

1.1 SUMMARY

\*\*\*\*\*  
NOTE: The following references should not be  
manually edited except to add new references.  
References not used in the text will automatically  
be deleted from this section of the project  
specification.  
\*\*\*\*\*

Requirements of this Section apply to, and are a component part of, each  
section of the specifications.

1.2 SUBMITTALS

\*\*\*\*\*  
NOTE: Review submittal description (SD) definitions  
in Section 01330J, "Submittals," and edit the  
following list to reflect only the submittals  
required for the project. Submittals should be kept  
to the minimum required for adequate quality  
control. Include a columnar list of appropriate  
products and tests beneath each submittal  
description.  
\*\*\*\*\*

A standard submittal form provided by the Contractor shall be used by the  
Subcontractor to transmit each submittal

Submittal Description (SD): Drawings, diagrams, layouts, schematics,  
descriptive literature, illustrations, schedules, performance and test  
data, and similar materials to be furnished by the Subcontractor explaining  
in detail specific portions of the work required by the subcontract.

\*\*\*\*\*  
NOTE: Delete survey requirements if this is  
exclusively an interior modification resulting in no  
\*\*\*\*\*

change to the footprint of the facility or to outdoor utilities. Project Lead must contact Client to determine which option (Subcontractor provided or JBOSC provided survey) Client is willing to fund.

\*\*\*\*\*

Submittal requirements are specified in the statement of work. SD numbers and titles identify submittals as follows:

#### SD-01 Preconstruction Submittals

Submittals that are required before construction work starts. Schedules or tabular list of data including location, features, or other pertinent information regarding products, materials, equipment, or components to be used in the work, submitted prior to subcontract work being initiated or next major phase of construction in a multi-phased construction contract.

[Land surveying, to include all projections and datum points, is required for all modifications affecting civil site plans (e.g., utilities, additions, new construction or storm water modifications). The survey must be performed and sealed by a licensed surveyor.]

#### SD-02 Shop Drawings

Drawings, diagrams and schedules specifically prepared to illustrate some portion of the work.

Diagrams and instructions from a manufacturer or fabricator for use in producing the product and as aids to the Subcontractor for integrating the product or system into the project.

Drawings prepared by or for the Subcontractor to show the relationship of various components of the work, schematic diagrams of systems, detail of fabrications, layout of particular elements, connections, and other relational aspects of the work.

#### SD-03 Product Data

Data composed of catalog cuts, brochures, circulars, specifications and product data, and printed information in sufficient detail and scope to verify compliance with requirements of the subcontract documents.

Samples of warranty language when the subcontract requires extended product warranties.

#### SD-04 Samples

Physical examples of materials, equipment or workmanship that illustrate functional and aesthetic characteristics of a material or product and establish standards by which the work can be judged.

Color samples from the manufacturer's standard line (or custom color samples if specified) to be used in selecting or approving colors for the project.

Field samples and mock-ups constructed on the project site establish standards by which the ensuring work can be judged. Includes

assemblies or portions of assemblies, which are to be incorporated into the project and those which will be removed at conclusion of the work.

#### SD-05 Design Data

Design calculations, mix design analysis, or other data, written in nature, and pertaining to a part of the work.

\*\*\*\*\*  
**NOTE: Coordinate progress schedule selection with project management.**  
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#### SD-06 Test Reports

Report signed by authorized official of testing laboratory that a material, product or system identical to the material, product or system to be provided has been tested in accord with specified requirements. Testing must have been within three years of date of contract award for the project.

Report, which includes findings of a test, required to be performed by the Subcontractor on an actual portion of the work prototype prepared for the project before shipment to the job site.

Report, which includes finding of a test, made at the job site or on sample taken from the job site, on a portion of work during or after installation.

Investigation reports

Daily checklist

Daily logs reporting on the progress of daily activities or attesting that the work has been installed in accordance with the subcontract plans and specifications.

Final acceptance test and operational test procedures.

#### SD-07 Certificates

A document required of the Subcontractor, or through the Subcontractor by way of supplier, installer, manufacturer, or other Lower Tier Subcontractor, the purpose of which is to further the quality or orderly progression of a portion of the work by documenting procedures, acceptability of methods or personnel, qualifications, or other verification of quality.

Statements signed by responsible officials of a manufacturer of a product, system, or material attesting that the product, system or material meets specified requirements. Statements must be dated after the award of this subcontract, name the project, and list the specific requirements, which it is intended to address.

#### SD-08 Manufacturer's Instructions

Preprinted material describing installation of a product, system, or material, including spare pparts list, special notices and material

safety data sheets, if any concerning impedances, hazards, and safety precautions.

#### SD-09 Manufacturer's Field Reports

A written report which includes the findings of a test made at the job site, in the vicinity of the job site, or on a sample taken from the job site, on a portion of the work, during or after installation. Report must be signed by an authorized official of a testing laboratory or agency and must state the test results; and indicate whether the material, product, or system has passed or failed the test.

#### SD-10 Operation and Maintenance Data

Data that is furnished by the manufacturer, or the system provider, to the equipment operating and maintenance personnel. This data is needed by operating and maintenance personnel for the safe and efficient operation, maintenance and repair of the item.

#### SD-11 Closeout Submittals

Special requirements necessary to properly close out a construction subcontract. For example, record drawings, manufacturers's help and product lines necessary to maintain and install equipment, spare parts, O&M manuals and training related items. Also, submittal requirements necessary to properly close out a major phase of construction on a multi-phase subcontract.

### 1.3 PREPARATION

#### 1.3.1 Use of Submittal Register

Column (a) Activity Number: Numerical sequence number that will be used on the Submittal Approval form to identify which submittal line item or portion of a line item is being answered.

Column (b) Spec Section: Lists specification section in which submittal is required.

Column (c) SD No. Type of Submittal: List each submittal and description (SD No. and type, e.g. SD-04 Drawings) required by the appropriate specification section.

Column (d) Paragraph: Lists one principle paragraph in specification section where a material or product is specified. This listing is only to facilitate locating submitted requirements. Do not consider entries in column (e) as limiting project requirements.

Column (e) Review: This column indicates the reviewing authority for each submittal. A "G" indicates review by Subcontract Administrator, "Q" indicates review by SGS QC representative, "S" indicates review by SGS Safety, "E" indicates review by Environmental Group, "CM" indicates review by Construction Management and a blank indicates review by Design Engineering or other designated organization.

The Subcontractor will prepare and maintain submittal register, as the work progresses. Do not change data, which is output in column (a), (b), (c), (d) or (e) as delivered by Contractor.

#### 1.4 SUBMISSION REQUIREMENTS

##### 1.4.1 Schedules

Within 15 days of notice to proceed, the Subcontractor shall provide, for approval by the SGS Subcontract Administrator, the following:

The Subcontractor will prepare a schedule of submittals as required by the specifications and drawings. Schedule shall indicate the numerical sequence number; specification or drawing reference requiring the submittal; the material, item, or process for which the submittal is required; the "SD" number and identifying title of the submittal; the Subcontractor's anticipated submission date and the approval need date. The submittal register can be used for this schedule.

##### 1.4.2 Subcontractor Use of Submittal Register

Complete the following on the register.

Column (f) Subcontractor Submit Date: Scheduled date for the Contractor (SGS) to receive submittals.

##### 1.4.3 SGS Use of Submittal Register

Construction Management will review the submittal register upon receipt of the initial Subcontractor input and, if necessary, inform SGS Subcontract Administrator of any discrepancies and/or resubmission of subcontractor dates.

Construction Management will update the following fields in the Contractor-furnished submittal register program or equivalent fields in program utilized by Subcontractor.

Column (g) List date of submittal receipt.

Column (l) List date returned to Subcontractor.

RPI will fill out Columns (h) through (k).

Submittals will be returned to the Subcontractor with the Design Engineering or A/E firm's Action Stamp notations listed in 1.8c:

##### 1.4.4 Copies Delivered to the Contractor

Deliver one copy of submittal register updated by Subcontractor to Contractor monthly or with each invoice request, whichever is more frequent.

#### 1.5 PROCEDURES FOR SUBMITTALS

##### 1.5.1 Reviewing, Certifying, Approving Authority

Design Engineering shall be responsible for reviewing and approving submittals to ensure that they are in compliance with technical requirements as specified in the SOW. The submittals will always be entered into the RPI database if SGS is the executing contractor.

#### 1.5.2 Constraints

- a. Submittals listed or specified in this subcontract shall conform to provisions of this section, unless explicitly stated otherwise.
- b. Submittals shall be complete for each definable feature of work; components of definable feature interrelated as a system shall be submitted at same time.
- c. When acceptability of a submittal is dependent on conditions, items, or materials included in separate subsequent submittals, submittal will be returned without review.
- d. Approval of a separate material, product, or component does not imply approval of assembly in which item functions.

#### 1.5.3 Marking

Permanent marking shall be provided on each submittal to identify it by subcontract number, transmittal date and Subcontractor.

#### 1.5.4 Contract Drawings

Submit newly prepared information, drawn to accurate scale. Highlight, encircle, or otherwise indicate deviations from the Contract Documents. Do not reproduce Contract Documents or copy standard information as the basis of Shop Drawings.

Standard information prepared without specific reference to the Project is not considered Shop Drawings and will be returned without review.

Drawing submittals shall be prepared using the A/E/C CADD Standard (RERDC/ITL TR-01-06) and be submitted with one hard copy and a reproducible electronic file on cd. If drawings and/or other documents are not in electronic format five (5) hard copies will be required by SGS.

Drawing submittals shall be prepared on translucent, reproducible sheets, not less than 8-1/2 by 11 inches 210 by 297 millimeter nor larger than 30 by 42 inches 841 by 1189 millimeter in size, except for full size patterns or templates. Drawings shall be prepared to accurate size, with scale indicated, unless other form is required. Reproducible drawings shall be suitable for microfilming and reproduction and shall be of a quality to produce clear, distinct lines and letters. Drawings shall have dark lines on a white background.

Copies of each drawing shall have the following information clearly marked thereon:

- a. Job name and Subcontract number, which shall be the general title of the subcontract drawings.
- b. Date of drawings and revisions.
- c. Name of Subcontractor
- d. Name of all Lower Tier Subcontractor's
- e. Name of the item, material, or equipment detailed thereon.

f. Number of the submittal (e.g., first submittal, etc.) in a uniform location adjacent to the title block.

g. Government contract number shall appear in the margin, immediately below the title block.

Drawings shall be numbered in logical sequence. Subcontractor may use his own number system. Each drawing shall bear the number of the submittal in a uniform location adjacent to the title block. Contractor contract number shall appear in the margin, immediately below the title block, for each drawing.

A blank space, no smaller than [\_\_\_\_\_] inches millimeter shall be reserved on the right hand side of each sheet for the Government disposition stamp.

#### 1.5.5 Subcontractor Provided Record Drawings

Record drawings must include all civil site developments such as new facility and/or land modifications, external structural changes to aboveground structures, and changes to underground structures and utilities external to facilities located on lands owned by or held in leasehold interest of the federal government.

Acceptance of the completed drawings by the Contractor certifies accuracy and completeness of the documents. Nonconformity with any of the following requirements will result in withholding of vendor payments.

Information in record drawings must include, but not be limited to:

- a. Location of all new lines, conduits, valves, fittings, fire hydrants, meters, terminal points using at least two ties to permanent points (manholes, power poles, curbs, or storm water inlets), or GPS coordinates with accuracy to at least 1 meter, or better if more stringent accuracy requirements are specified in other sections of this subcontract. An acceptable station and offset system may be used for service lines and fittings only.
- b. Location of new lines from property easement lines or edges of pavement at intervals of 300 feet.
- c. All utility routing and interface changes shall be reflected on the drawings to scale and defined with sufficient dimensions.
- d. Provide support for obtaining surveyed coordinates for facility footprint corner and underground structures and utilities external to facilities by submitting Form ENG-F-CE06 to the Subcontract Administrator at least five (5) working days prior to foundation construction or open excavation as notification to the JBOSC Survey Services Department.
- e. Prepare record drawing prints at a minimum scale of 1 inch = 100 feet. Enlarge as necessary all areas requiring additional detail.
- f. Provide record drawings in digital format. Geospatially referenced files must be in ESRI GIS Geodatabase, ESRI GIS Shapefile, Microstation DGN, AutoCAD DWG or DXF file format. Information should be provided in separate layers/levels as specified by GIS in at least the same degree of separation as the design drawings provided. Contain in the same levels any new like



items to permit easy conversion to GIS layers.

g. Use spatial reference as:

Horizontal accuracy: Reference all surveys/drawings to Florida State Plane Coordinate System, East Zone, North American Datum 1983/1990 adjustment based on Second Order Class II horizontal control monument.

Vertical accuracy: Reference all surveys to North American Vertical Datum (NAVD) 1988. Include a description of the reference benchmarks from which the NAVD has been determined in the survey.

- h. Make all lines, letters, and details sharp, clean, and fully legible.
- i. One reproducible print and one digital copy in an electronic storage media are required for submittal.

1.5.6 JBOSC PROVIDED SURVEY SUPPORT

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**NOTE: The JBOSC Survey Services Department will provide the JBOSC RPIS Office the required certified survey data to update CCSGIS Survey work supporting this effort when the Subcontractor is not required by the Contractor to provide certified record drawings. Funding will be either through baseline subcontract funding, through inclusion in project-to-project funding, or Type 3 JBOSC Work Order. Funding source will be at the discretion of the Contractor.**

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For all land surveys, notify JBOSC Survey Services Department, through the Subcontract Administrator fifteen (15) days in advance and prior to completion of foundation construction for all civil site developments and/or any changes to underground structures and utilities external to facilities. This includes, but is not limited to construction, modification or burying of underground utilities on lands owned by or held in leasehold interest of the federal government. Submit ENG-F-CEO6 as notification to the JBOSC Survey Services Department.

1.5.7 Project Data Format

Collect Product Data into a single submittal for each element of construction or system. Product Data includes printed information such as manufacturer's installation instruction, catalog cuts, standard color charts, roughing-in diagrams and templates, standard wiring diagrams and performance curves. Where Product Data must be specially prepared because standard printed data is not suitable for use, submit as "Shop Drawings".

- a. Mark each copy to show applicable choices and options. Marking are to be clearly visible on each copy submitted. Where printed Product Data includes information on several products, some of which are not required, mark copies to indicate the applicable information. Include the following information:

1. Manufacturer's printed recommendations.
  2. Compliance with recognized trade association standards.
  3. Compliance with recognized testing agency standards.
  4. Application of testing agency labels and seals.
  5. Notation of dimensions verified by field measurement.
  6. Notation of coordination requirements.
- b. Do not submit Product Data until compliance with requirements of the Contract Documents has been confirmed.
  - c. Poor quality copies and illegible submittals will be rejected and returned without review.

#### 1.5.8 Samples

One set of identified samples are to be submitted. A copy of the submittal form, marked with review notations including selections by the Subcontract Administrator, will be returned to the Subcontractor.

Samples must be physically identical with the proposed material or product to be incorporated in the work, fully fabricated and finished in the specified manner, and full scale. Where variations in color, finish, pattern, or texture are inherent in the material or product represented by the sample, multiple units of the sample, showing the near-limits of the variations and the "average" of the whole range (not less than 3 units), shall be submitted for each submittal requested. Each unit shall be marked to describe its relation to the range of the variation. Where samples are specified for selection of color, finish, pattern, or texture, the full set of available choices shall be submitted for the material or product specified. Sizes and quantities of samples shall represent their respective standard unit.

Samples that are intended or permitted to be returned and actually incorporated in the work are so indicated in the individual technical sections. These samples will be returned to the Subcontractor, at his expense, to be clearly labeled, with installation location recorded. Samples shall be in undamaged condition at the time of installation.

Where mockups and similar large samples are required by individual technical sections, it is recognized that these are a special type of sample which cannot be readily "transmitted" as specified for submittal of samples. Otherwise, and except as indicated in the individual technical sections, the requirements for samples shall be complied with and a transmittal form shall be processed for each mockup, to provide a record of the activity.

#### 1.6 SUBCONTRACTOR'S ACTION

Before submitting for review, Subcontractor must check submittals of subcontractors for accuracy, ascertain that all work contiguous with and having bearings on other work shown is accurately drawn, and that work shown is in conformity with the Contract requirements.

All submittals, when submitted, must bear the Subcontractor stamp of

approval as evidence that such drawings and details have been checked. Said "Stamp" must clearly state that the Subcontractor has checked the drawings and, by signature, he so certifies. Any submittals without such executed stamps of approval will be returned to the Subcontractor without review. In such event, it will be deemed that the Subcontractor has not complied with this provision and the Subcontractor is responsible and at risk for all delays to the same extent as if no submittals at all had been submitted.

Submittals for either original submission or when resubmitted with corrections, constitute evidence that the Subcontractor has checked all information thereon, and that he accepts and is willing to perform the work as shown in a workmanlike manner and in accordance with best standard practice.

Cost of any changes in construction, all additional costs including coordination, due to improper checking and coordination by the Subcontractor shall be paid for by the Subcontractor.

#### 1.7 CONSTRUCTION MANAGER'S ACTION

a. Before submitting to Design Engineering or A/E firm, the Construction Manager will check submittals of Subcontractors for accuracy, ascertain that all work contiguous with and having bearing on other work shown is accurately drawn, and that work shown is in conformity with Contract requirements.

b. Any changes in construction due to the oversight of the Construction Manager, Architect, or Design Engineer, in noting errors in submittals or coordination by the Subcontractor does not relieve the Subcontractor of the compliance with the contract documents. All costs to correct errors due to lack of compliance or coordination shall be paid by the Subcontractor.

#### 1.8 DESIGN ENGINEERING/ARCHITECTURAL AND ENGINEERING FIRM ACTION

a. Except for submittals for record, information or similar purposes, where action and return is required or requested, the Architect/Engineer will review each submittal, mark to indicate action taken, and return promptly.

1. Compliance with specified characteristics is the Subcontractor's responsibility.

b. The submittal review by the Architect/Engineer will be general in nature. General review shall not relieve the Subcontractor of responsibility for accuracy of such submittals, nor proper fitting, construction of work, furnishing of materials, or work required by the Contract Documents and not indicated on submittals. Approval of a specific item shall not imply approval of an assembly in which this item is a component.

1. Review of submittals and schedules shall not relieve the Subcontractor from responsibility for any violation indicated on such submittals or schedules of local, county, state or federal laws, rules, ordinances, or rules and regulations of commissions, boards or other authorities or utilities having jurisdiction.

c. Action Stamp: The Architect/Engineer will stamp each submittal with a uniform, self-explanatory action stamp. The stamp will be appropriately

marked, as follows, to indicate action taken:

1. Submittals marked "approved" authorize the Subcontractor to proceed with the work covered.
2. Submittals marked "approved as noted" authorize the Subcontractor to proceed with the work covered provided he takes no exception to the corrections. Notes shall be incorporated prior to submission of the final submittal.
3. Submittals marked "return for correction" require the Subcontractor to make necessary corrections and revisions and to re-submit them for approval in the same routine as before, prior to proceeding with any of the work depicted by the submittal.
4. Submittals marked "not approved" or "disapproved/resubmit" indicate noncompliance with the subcontract requirements and shall be resubmitted with appropriate changes. No item of a resubmittal shall be accomplished until the submittals are approved or approved as noted.
5. Subcontractor shall make corrections required by the SGS Subcontract Administrator. If the Subcontractor considers any correction or notation on the returned submittals to constitute a change to the subcontract drawings or specifications; notice as required under the clause entitled, "Changes" shall be given to the SGS Subcontract Administrator. Approval of the submittals by the Contractor shall not be construed as a complete check, but will indicate only that the general method of construction and detailing is satisfactory. Subcontractor shall be responsible for the dimensions and design of connection details and construction of work.
6. If changes are necessary to approved submittals, the Subcontractor shall make such revisions and resubmit the submittals in accordance with the procedures above. No item of work requiring a submittal change shall be accomplished until the changed submittals are approved.

d. Other Action: Where a submittal is primarily for information or record purposes, special processing or other activity, the submittal will be returned, marked "No Action Required".

## PART 2 PRODUCTS

Not Used

## PART 3 EXECUTION

### 3.1 GENERAL

Subcontractor shall provide exactly those materials and equipment as submitted or as indicated in the specifications and drawings. If a material or equipment deviation is elected, it must be approved prior to installation of that item. A deviation is defined as any material or equipment variation, exception, alternate, or departure from subcontract specifications or drawings. The submittal shall clearly highlight or mark all deviations (in particular, equipment/component electrical requirements and performance characteristics as compared to those in the contract

specifications).

If material or equipment to be used and/or installed is exactly as noted in these specifications (model no., manufacturer, option items, etc.), a submittal is not required. Instead, a letter of certification/compliance shall be submitted. The letter of certification/compliance shall reference the pertinent specification paragraph(s).

NOTE: Approval of submittal data by the SGS Subcontract Administrator containing deviations from the specifications not specifically noted by the Subcontractor will not constitute approval of such deviations. Discovery of such deviations not noted by the Subcontractor will immediately rescind any prior approval by the SGS Subcontract Administrator. The Subcontractor shall then be required to resubmit for approval either corrected submittals noting deviations or new submittals. In the event that unapproved material or equipment deviations have been installed and the Subcontractor is unable to obtain approval of same, the Subcontractor shall completely remove that material or equipment from the job site and replace with approved material or equipment at no additional cost to the Contractor.

The rescission of approval may go beyond one piece of equipment or a particular material in cases where compatibility of components is essential in a system affected by a rescission of approval. The extent of removal and replacement shall be at the sole discretion of the SGS Subcontract Administrator.

-- End of Section --